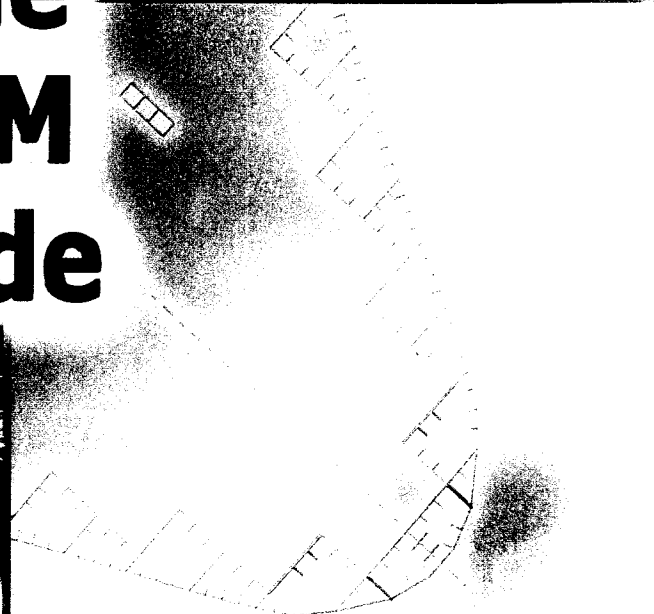
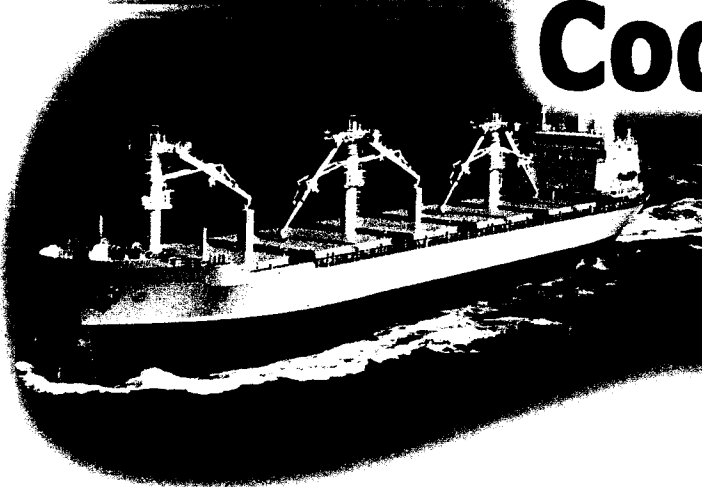


The ISM Code



***Changes for 2002
& Beyond***

FOREWORD

Purpose

The purpose of the ISM Code is to provide an international standard for the safe management and operation of ships and for pollution prevention. From a historical perspective, this is a continuation of previous IMO Resolutions having similar objectives.

History

On 19 October 1989, IMO adopted Resolution A.647(16) entitled "Guidelines on Management for the Safe Operation of Ships and for Pollution Prevention." That Resolution was superseded by the adoption of A.680(17) on 6 November 1991, although the title remained unchanged.

"The International Management Code for the Safe Operation of Ships and for Pollution Prevention," also known as the "International Safety Management Code" or ISM Code was adopted by the IMO on 4 November 1993 as Resolution A.741(18). The Resolution was adopted on 27 May at the IMO MSC 63 and 1994 SOLAS Conference. The mandatory compliance date was 1 July 1998 for all passenger ships, and the following vessel types of 500 gross tonnage and over: oil tankers, chemical tankers, gas carriers, bulk carriers, and cargo high-speed craft. For all other cargo ships and Mobile Offshore Drilling Units (MODUs) of 500 gross tonnage and over, the mandatory compliance date is 1 July 2002. The new requirements apply only to self-propelled MODUs. However, Parties to the Convention may apply the requirements of the ISM Code to all ships.

A new chapter in SOLAS, Chapter IX, has been developed to implement the ISM Code. (A new Chapter X in SOLAS provides information on high-speed craft).

The ISM Code has been amended through IMO's Resolution MSC.104(73) adopted on 5 December 2000. This Resolution states that the amendments shall be deemed to have been accepted on 1 January 2002, unless, prior to that date, more than one third of the Contracting Governments to the Convention or Contracting governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world's merchant fleet, have notified their objections to the amendments. Should the amendments be adopted on 1 January 2002, the amendments shall enter into force on 1 July 2002.

The amendments include:

- Division of the Code into Part A, Implementation (Chapters 1-12) and Part B, Certification and Verification (Chapters 13-16);
- addition of nine (9) definitions added to Chapter 1.1 (Definitions);
- addition of text to Chapter 7 (Development of Plans for Shipboard Operations);
- changes to Chapter 13 (Certification and Periodical Verification);
- addition of Chapter 14 (Interim Certification);
- addition of Chapter 15 (Verification);
- addition of Chapter 16 (Forms of Certificates);
- examples of forms for Documents of Compliance, Safety Management Certificates, Interim Documents of Compliance, and Interim Safety Management Certificates.

With the exception of the certificates, the above changes are marked with shading in the text of the Code.

Rationale

Companies associated with marine operations have increasingly recognized the value of adopting universal quality and environmental standards such as ISO 9001:2000 and ISO 14001:1996. ISO 9001:2000 is the quality assurance standard applied to marine management and ship operation. By comparison, the ISM code focuses on safety and pollution prevention. Because quality and safety are directly linked, an effective quality and environmental management system leads to an effective safety management system. ISO 9001, ISO 14001 and the ISM Code have common elements that provide an optimum integrated management system. The adoption of standards associated with quality, environmental and safety management systems simply makes smart business sense.

The ABS Advantage

ABS and ABS Consulting combine the necessary expertise to provide comprehensive services associated with the ISM Code and safety, environmental and quality by utilizing a global network of professionals with experience in marine management. Factor in flexibility and the result is a team approach to meet client requirements.

Certification (ISM)

ABS, acting as a recognized organization for a flag State, provides the required certification to demonstrate that the owner, or whoever has responsibility for operation of the ship, is in compliance with the ISM Code. Such compliance, demonstrated by a company's adherence to a Safety Management System (SMS), requires separate certificates for the company and for each individual ship. These certificates include a Document of Compliance (DOC) for the Company and Safety Management Certificates (SMC) for the ships.

The ISM Code requires that the Company hold a valid Document of Compliance (DOC) before any ship assessment can be carried out. The Company's DOC is valid for the types of ships operated. The ship assessment determines if the Company's SMS has been fully implemented on board before issuing a Safety Management Certificate (SMC).

Companies should refer to the Guidelines on implementation of the International Safety

Management (ISM) Code by Administrations adopted by the Organization by resolution A.788(19). This Resolution provides additional information that can be of use to all Companies.

ABS has developed the *Guide for Marine Safety, Quality and Environmental Management* that combines all the requirements of the ISM Code, ISO 9001:2000 and ISO 14001:1996 in one Standard. ABS offers this Guide to the maritime industry as a tool for enhancing marine management practices and further supporting safe management in the operation of ships and prevention of pollution. ABS has set up a certification process for clients to choose appropriate parts of this Guide. Please feel free to contact ABS for more information on this subject.

ABS Consulting provides a complete range of associated safety, quality and environmental management system services to shipowners seeking to demonstrate their adherence to the highest regulatory and voluntary safety standards.

ASSESSMENT ACTIVITIES – ISM CODE

In General

Assessing a Company's safety management system is conducted at the office location assuming responsibility for implementation of the ISM Code requirements.

If the Company has more than one location with assigned responsibilities for vessel operations, then a representative sample of locations may be used. This depends on either the commonality or the operation-specific nature of the element(s).

All ships falling under SOLAS requirements for ISM Code certification must be assessed. Vessel type and trade routes determine how to best optimize the time necessary to complete the assessment. When time in port is insufficient, other options — such as assessment while underway at sea or assessment during more than one port visit — is discussed with the Company in order to decide the most convenient and efficient solution.

Timing of Assessments

The ISM Code compliance process involves three (3) activities:

- a) The initial assessment;
- b) The periodical assessment; and
- c) The renewal assessment.

a) Initial Assessment

Company

An initial assessment of a Company involves confirmation:

1. that the company has a safety management system which contains the functional requirements described in the ISM Code;
2. that such a system with assigned responsibilities has been incorporated into the shoreside organization; and
3. that the appropriate material has been provided to ship personnel to facilitate compliance.

Ship

An initial assessment of a ship involves confirmation:

1. that the onboard safety management system complies with the requirements of the ISM Code; and
2. that the safety management system developed by the Company for onboard use is understood and implemented by ship personnel.

Initial Assessment

During an initial assessment, if the Company is found not to be in compliance with the ISM Code, the relevant details will be recorded. Immediate corrective action may be necessary in order to obtain a Document of Compliance. However, if the risk is categorized as having no immediate impact on safety and the marine environment, the Document of Compliance would be issued, but with an agreed corrective action plan and date for execution. Confirmation of completion of the action plan is required.

The same processes and requirements apply when carrying out an initial assessment of a ship, but only after the Company has obtained a Document of Compliance (DOC).

Deficiencies

Deficiencies are recorded as nonconformities with respect to the ISM Code and/or of the Company's Safety Management System (SMS). Nonconformities found during an assessment are identified, recorded, and reported to whoever is responsible for the area where the deficiency was observed.

Each nonconformity is written as a clear and concise statement, citing the requirement(s) not met, the source document(s), and evidence supporting the nonconformance.

Scope of Certification

Receipt of ISM certification is based solely on demonstration of compliance with operational requirements specifically relating to the safe management and operation of ships and for pollution prevention. It does not substitute nor affect the requirement that the Company or ship must comply with other international or national statutory requirements. Certification does not imply endorsement of technical adequacy of the ship, condition, or other additional operating procedures.

Safety Management System (SMS) Manual

The functional requirements for a safety management system described in the ISM Code may already be documented in published materials containing organizational responsibilities and procedures. Therefore, a "Safety Management Manual" which describes the SMS may include an index which directs the interested person to the substantive source documentation addressing specific functional ISM requirements. This method avoids duplication of effort, and uses material already in place to satisfy the ISM documentation requirements.

In order to facilitate the review and approval process of a Company's "Safety Management System Manual," the Company shall submit such manual to ABS at least one month prior to the scheduled date of the initial assessment.

The ISM Code is expressed in broad terms in order to have widespread application to all ships meeting the IMO gross registered tonnage criteria. As a result, the Safety Management System Manual content will vary. To accommodate such a range of ships, different levels of management, whether ashore or onboard, require varying levels of knowledge and awareness of the Code content.

Duration of Validity

Certificates issued to the Company and ships are valid for five (5) years from the date of the initial or renewal assessment.

b) Periodical assessment

The validity of the Company's DOC is subject to annual surveillance assessments within three months before or after each anniversary date of the DOC.

The validity of the SMC is subject to at least one intermediate assessment conducted on board between the second and third anniversary date of the SMC.

Scope of periodical assessments

Periodical assessments require a general assessment of the Company and ship(s) to verify continued compliance with the SMS and the ISM Code. These include:

1. a general overview of the Company and ship(s) compliance with the SMS and the ISM Code;
2. verification of any corrective action items identified from previous assessments;
3. verification of the proper functioning of the SMS internal audit system; and
4. random sampling of the safety management system from each element of the ISM Code as deemed appropriate for the particular organization and ship design.

c) Renewal assessments

A renewal assessment is required five (5) years from date of initial or previous renewal assessment in order to confirm continued compliance of the Company and/or ship(s) with the ISM Code.

Renewal assessment for a Company and for each ship shall be as comprehensive as that described for an initial assessment, i.e. all elements of the ISM Code shall be addressed.

Renewal assessments must be completed prior to the expiration date of the DOC or SMC. They may be carried out as early as six months prior to the expiration date. If carried out within three months of the expiry date, the new certificate will reflect an expiry date five years after the existing certificate expiry date. Between three months and six, the expiry date will be based upon the date of the renewal audit.

Conditions for certificate suspension or withdrawal

Either the Document of Compliance (DOC) or the Safety Management Certificate (SMC) may be suspended or withdrawn by the relevant Administration for any of the following reasons:

1. A major nonconformity (a nonconformity which poses a serious threat to personnel or ship safety or serious risk to the environment and requires immediate corrective action);
2. Noncompliance with a previously approved SMS;
3. Lack of effective and systematic implementation of a requirement of the Code; or
4. Failure to schedule periodic and renewal assessments within the defined limits.

SUMMARY

With the international community's focus on safety and pollution prevention, verifying compliance with the ISM Code is no longer a choice: it is a mandate. Furthermore, it must be recognized that safety and quality are directly linked. An effective quality and environmental management system using ISO 9001 and ISO 14001 may lead to an effective safety management system. Since many of the elements in each standard have a

common focus, combining these standards is a viable approach for implementing a management system. ABS considers that such an approach makes smart business sense that can be readily achieved through the ABS global network of professional expertise and its unsurpassed commitment to provide the service best suited for your operational requirements. ABS can help you meet your responsibility — responsibly.

INTERNATIONAL MANAGEMENT CODE FOR THE SAFE OPERATION OF SHIPS AND FOR POLLUTION PREVENTION (INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE)

Safety and Pollution Prevention Management Requirements

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P R E A M B L E

- 1 The purpose of this Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.
 - 2 The Assembly adopted resolution A.443(XI) by which it invited all Governments to take the necessary steps to safeguard the shipmaster in the proper discharge of his responsibilities with regard to maritime safety and the protection of the marine environment.
 - 3 The Assembly also adopted resolution A.680(17) by which it further recognized the need for appropriate organization of management to enable it to respond to the need of those on board ships to achieve and maintain high standards of safety and environmental protection.
 - 4 Recognizing that no two shipping companies or shipowners are the same, and that ships operate under a wide range of different conditions, the Code is based on general principles and objectives.
 - 5 The Code is expressed in broad terms so that it can have a widespread application. Clearly, different levels of management, whether shore-based or at sea, will require varying levels of knowledge and awareness of the items outlined.
 - 6 The cornerstone of good safety management is commitment from the top. In matters of safety and pollution prevention it is the commitment, competence, attitudes and motivation of individuals at all levels that determines the end result.
- 1.1.2 "Company" means the Owner of the ship or other organization or person such as the Manager, or Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Shipowner and who on assuming such responsibility has agreed to take over all the duties and responsibility imposed by the Code.
 - 1.1.3 "Administration" means the Government of the State whose flag the ship is entitled to fly.
 - 1.1.4 "Safety Management System" means a structured and documented system enabling Company personnel to implement effectively the Company safety and environmental protection policy.
 - 1.1.5 "Document of Compliance" means a document issued to a Company which complies with the requirements of this Code.
 - 1.1.6 "Safety Management Certificate" means a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.
 - 1.1.7 "Objective evidence" means quantitative or qualitative information, records or statements of fact pertaining to safety or to the existence and implementation of an safety management system element, which is based on observation, measurement or test and which can be verified.
 - 1.1.8 "Observation" means a statement of fact made during a safety management audit and substantiated by objective evidence.
 - 1.1.9 "Non-conformity" means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.
 - 1.1.10 "Major non-conformity" means an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action and includes the lack of effective and systematic implementation of a requirement of this Code.
 - 1.1.11 "Anniversary date" means the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.

PART A IMPLEMENTATION

1 GENERAL

1.1 Definitions

The following definitions apply to parts A and B of this Code.

- 1.1.1 "International Safety Management (ISM) Code" means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organization.

- 1.1.12 "Convention" means the International Convention for the Safety of Life at Sea, 1974 as amended."

1.2 Objectives

- 1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property.

- 1.2.2 Safety management objectives of the Company should, inter alia:

- .1 provide for safe practices in ship operation and a safe working environment;
- .2 establish safeguards against all identified risks; and
- .3 continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.

- 1.2.3 The safety management system should ensure:

- .1 compliance with mandatory rules and regulations; and
- .2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account.

1.3 Application

The requirements of this Code may be applied to all ships.

1.4 Functional requirements for a Safety Management System (SMS)

Every company should develop, implement and maintain a Safety Management System (SMS) which includes the following functional requirements:

- .1 a safety and environmental protection policy;
- .2 instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and flag State legislation;

- .3 defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;

- .4 procedures for reporting accidents and nonconformities with the provisions of this Code;

- .5 procedures to prepare for and respond to emergency situations; and

- .6 procedures for internal audits and management reviews.

2 SAFETY AND ENVIRONMENTAL PROTECTION POLICY

- 2.1 The Company should establish a safety and environmental protection policy which describes how the objectives, given in paragraph 1.2, will be achieved.

- 2.2 The Company should ensure that the policy is implemented and maintained at all levels of the organization both ship based as well as shore based.

3 COMPANY RESPONSIBILITIES AND AUTHORITY

- 3.1 If the entity who is responsible for the operation of the ship is other than the owner, the owner must report the full name and details of such entity to the Administration.

- 3.2 The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

- 3.3 The Company is responsible for ensuring that adequate resources and shore based support are provided to enable the designated person or persons to carry out their functions.

4 DESIGNATED PERSON(S)

To ensure the safe operation of each ship and to provide a link between the company and those on board, every company, as appropriate, should designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore based support are applied, as required.

5 MASTER'S RESPONSIBILITY AND AUTHORITY

5.1 The Company should clearly define and document the master's responsibility with regard to:

- .1 implementing the safety and environmental protection policy of the Company;
- .2 motivating the crew in the observation of that policy;
- .3 issuing appropriate orders and instructions in a clear and simple manner;
- .4 verifying that specified requirements are observed; and
- .5 reviewing the SMS and reporting its deficiencies to the shore based management.

5.2 The Company should ensure that the SMS operating on board the ship contains a clear statement emphasizing the Master's authority. The Company should establish in the SMS that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution prevention and to request the Company's assistance as may be necessary.

6 RESOURCES AND PERSONNEL

6.1 The Company should ensure that the master is:

- .1 properly qualified for command;
- .2 fully conversant with the Company's SMS; and
- .3 given the necessary support so that the Master's duties can be safely performed.

6.2 The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.

6.3 The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarization with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented and given.

6.4 The Company should ensure that all personnel involved in the Company's SMS have an

adequate understanding of relevant rules, regulation, codes and guide-lines.

6.5 The Company should establish and maintain procedures for identifying any training which may be required in support of the SMS and ensure that such training is provided for all personnel concerned.

6.6 The Company should establish procedures by which the ship's personnel receive relevant information on the SMS in a working language or languages understood by them.

6.7 The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.

7 DEVELOPMENT OF PLANS FOR SHIP-BOARD OPERATIONS

The Company should establish procedures for the preparation of plans and instructions, including checklists as appropriate, for key shipboard operations concerning the safety of the ship and the prevention of pollution. The various tasks involved should be defined and assigned to qualified personnel.

8 EMERGENCY PREPAREDNESS

8.1 The Company should establish procedures to identify, describe and respond to potential emergency shipboard situations.

8.2 The Company should establish programs for drills and exercises to prepare for emergency actions.

8.3 The SMS should provide for measures ensuring that the Company's organization can respond at any time to hazards, accidents and emergency situations involving its ships.

9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES

9.1 The SMS should include procedures ensuring that non-conformities, accidents and hazardous situation are reported to the Company, investigated and analyzed with the objective of improving safety and pollution prevention.

9.2 The Company should establish procedures for the implementation of corrective action.

10 MAINTENANCE OF THE SHIP AND EQUIPMENT

- 10.1 The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.
- 10.2 In meeting these requirements the Company should ensure that:
 - .1 inspection are held at appropriate intervals;
 - .2 any non-conformity is reported with its possible cause, if known;
 - .3 appropriate corrective action is taken; and
 - .4 records of these activities are maintained
- 10.3 The Company should establish procedures in SMS to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.
- 10.4 The inspection mentioned in 10.2 as well as the measures referred to 10.3 should be integrated in the ship's operational maintenance routine.

11 DOCUMENTATION

- 11.1 The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS.
- 11.2 The Company should ensure that:
 - .1 valid documents are available at all relevant locations;
 - .2 changes to documents are reviewed and approved by authorized personnel; and
 - .3 obsolete documents are promptly removed.
- 11.3 The documents used to describe and implement the SMS may be referred to as the "Safety Management Manual". Documentation should be kept in a form that the Company considers most effective. Each ship should carry on board all documentation relevant to that ship.

12 COMPANY VERIFICATION, REVIEW AND EVALUATION

- 12.1 The Company should carry out internal safety audits to verify whether safety and pollution prevention activities comply with the SMS.
- 12.2 The Company should periodically evaluate the efficiency and when needed review the SMS in accordance with procedures established by the Company.
- 12.3 The audits and possible corrective actions should be carried out in accordance with documented procedures.
- 12.4 Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to the size and the nature of the Company.
- 12.5 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved.
- 12.6 The management personnel responsible for the area involved should take timely corrective action on deficiencies found.

PART B CERTIFICATION AND VERIFICATION

13 CERTIFICATION AND PERIODICAL VERIFICATION

- 13.1 The ship should be operated by a Company which has been issued with a Document of Compliance or with an Interim Document of Compliance in accordance with paragraph 14.1, relevant to that ship.
- 13.2 The Document of Compliance should be issued by the Administration, by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government to the Convention to any Company complying with the requirements of this Code for a period specified by the Administration which should not exceed five years. Such a document should be accepted as evidence that the Company is capable of complying with the requirements of this Code.
- 13.3 The Document of Compliance is only valid for the ship types explicitly indicated in the document. Such indication should be based on the types of ships on which the initial verification was based. Other ship types should only be added after verification of the Company's capability to comply with the requirements of this Code applicable to

such ship types. In this context, ship types are those referred to in regulation IX/1 of the Convention.

- 13.4 The validity of a Document of Compliance should be subject to annual verification by the Administration or by an organization recognized by the Administration or, at the request of the Administration by another Contracting Government within three months before or after the anniversary date.
- 13.5 The Document of Compliance should be withdrawn by the Administration or, at its request, by the Contracting Government which issued the document, when the annual verification required in paragraph 13.4 is not requested or if there is evidence of major non-conformities with this Code.
- 13.5.1 All associated Safety Management Certificates and/or Interim Safety Management Certificates should also be withdrawn if the Document of Compliance is withdrawn.
- 13.6 A copy of the Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.
- 13.7 The Safety Management Certificate should be issued to a ship for a period which should not exceed five years by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. The Safety Management Certificate should be issued after verifying that the Company and its shipboard management operate in accordance with the approved safety management system. Such a certificate should be accepted as evidence that the ship is complying with the requirements of this Code.
- 13.8 The validity of the Safety Management Certificate should be subject to at least one intermediate verification by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. If only one intermediate verification is to be carried out and the period of validity of the Safety Management Certificate is five years, it should take place between the second and third

anniversary date of the Safety Management Certificate.

- 13.9 In addition to the requirements of paragraph 13.5.1, the Safety Management Certificate should be withdrawn by the Administration or, at the request of the Administration, by the Contracting Government which has issued it when the intermediate verification required in paragraph 13.8 is not requested or if there is evidence of major non-conformity with this Code.
- 13.10 Notwithstanding the requirements of paragraphs 13.2 and 13.7, when the renewal verification is completed within three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of expiry of the existing Document of Compliance or Safety Management Certificate.
- 13.11 When the renewal verification is completed more than three months before the expiry date of the existing Document of Compliance or Safety Management Certificate, the new Document of Compliance or the new Safety Management Certificate should be valid from the date of completion of the renewal verification for a period not exceeding five years from the date of completion of the renewal verification.

14 INTERIM CERTIFICATION

- 14.1 An Interim Document of Compliance may be issued to facilitate initial implementation of this Code when:

- 1 Company is newly established; or
- 2 new ship types are to be added to an existing Document of Compliance,

following verification that the Company has a safety management system that meets the objectives of paragraph 1.2.3 of this Code, provided the Company demonstrates plans to implement a safety management system meeting the full requirements of this Code within the period of validity of the Interim Document of Compliance. Such an Interim Document of Compliance should be issued for a period not exceeding 12 months by the Administration or by an organization

recognized by the Administration or, at the request of the Administration, by another Contracting Government. A copy of the Interim Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the document is not required to be authenticated or certified.

14.2 An Interim Safety Management Certificate may be issued:

- .1 to new ships on delivery;
- .2 when a Company takes on responsibility for the operation of a ship which is new to the Company; or
- .3 when a ship changes flag.

Such an Interim Safety Management Certificate should be issued for a period not exceeding 6 months by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

14.3 An Administration or, at the request of the Administration, another Contracting Government may, in special cases, extend the validity of an Interim Safety Management Certificate for a further period which should not exceed 6 months from the date of expiry.

14.4 An Interim Safety Management Certificate may be issued following verification that:

- .1 the Document of Compliance, or the Interim Document of Compliance, is relevant to the ship concerned;
- .2 the safety management system provided by the Company for the ship concerned includes key elements of this Code and has been assessed during the audit for issuance of the Document of Compliance

or demonstrated for issuance of the Interim Document of Compliance;

- .3 the Company has planned the audit of the ship within three months;
- .4 the master and officers are familiar with the safety management system and the planned arrangements for its implementation;
- .5 instructions, which have been identified as being essential, are provided prior to sailing; and
- .6 relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel.

15 VERIFICATION

- 15.1 All verifications required by the provisions of this Code should be carried out in accordance with procedures acceptable to the Administration, taking into account the guidelines developed by the Organization.*

16 FORMS OF CERTIFICATES

16.1 The Document of Compliance, the Safety Management Certificate, the Interim Document of Compliance and the Interim Safety Management Certificate should be drawn up in a form corresponding to the models given in the appendix to this Code. If the language used is neither English nor French, the text should include a translation into one of these languages.

16.2 In addition to the requirements of paragraph 13.3 the ship types indicated on the Document of Compliance and the Interim Document of Compliance may be endorsed to reflect any limitations in the operations of the ships described in the safety management system."

* Refer to the Guidelines on implementation of the International Safety Management (ISM) Code by Administrations adopted by the Organization by resolution A.788(19).

APPENDIX

**Forms of the Document of Compliance, the Safety Management Certificate,
the Interim Document of Compliance and the Interim Safety Management Certificate**

DOCUMENT OF COMPLIANCE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____
(name of the State)

by _____
(person or organization authorized)

Name and address of the Company
.....
(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the Company has been audited and that it complies with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code) for the types of ships listed below (delete as appropriate):

Passenger ship
Passenger high-speed craft
Cargo high-speed craft
Bulk carrier
Oil tanker
Chemical tanker
Gas carrier
Mobile offshore drilling unit
Other cargo ship

This Document of Compliance is valid until, subject to periodical verification.

Issued at
(place of issue of the document)

Date of issue

.....
(Signature of the duly authorized official issuing the document)

(Seal or stamp of issuing authority, as appropriate)

Certificate No. _____

ENDORSEMENT FOR ANNUAL VERIFICATION

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation IX/6.1 of the Convention and paragraph 13.4 of the ISM Code, the safety management system was found to comply with the requirements of the ISM Code.

1st ANNUAL VERIFICATION

Signed:
(Signature of authorized official)

Place:

Date:

2nd ANNUAL VERIFICATION

Signed:
(Signature of authorized official)

Place:

Date:

3rd ANNUAL VERIFICATION

Signed:
(Signature of authorized official)

Place:

Date:

4th ANNUAL VERIFICATION

Signed:
(Signature of authorized official)

Place:

Date:

SAFETY MANAGEMENT CERTIFICATE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____
(name of the State)

by _____
(person or organization authorized)

Name of ship:

Distinctive number or letters:

Port of registry:

Type of ship*

Gross tonnage:

IMO Number:

Name and address of Company:

(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the ship has been audited and that it complies with the requirements of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), following verification that the Document of Compliance for the Company is applicable to this type of ship.

This Safety Management Certificate is valid until, subject to periodical verification and the Document of Compliance remaining valid.

Issued at
(place of issue of the document)

Date of issue

(Signature of the duly authorized official issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

* Insert the type of ship from among the following: passenger ship; passenger high-speed craft; cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile offshore drilling unit; other cargo ship.

Certificate No. _____

ENDORSEMENT FOR INTERMEDIATE VERIFICATION AND ADDITIONAL VERIFICATION (IF REQUIRED)

THIS IS TO CERTIFY THAT, at the periodical verification in accordance with regulation IX/6.1 of the Convention and paragraph 13.8 of the ISM Code, the safety management system was found to comply with the requirements of the ISM Code.

INTERMEDIATE VERIFICATION

(to be completed between the **second**
and **third** anniversary date)

Signed:
(Signature of authorized official)

Place:

Date:

ADDITIONAL VERIFICATION*

Signed:
(Signature of authorized official)

Place:

Date:

ADDITIONAL VERIFICATION*

Signed:
(Signature of authorized official)

Place:

Date:

ADDITIONAL VERIFICATION*

Signed:
(Signature of authorized official)

Place:

Date:

* If applicable. Reference is made to paragraph 3.2.3 of the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations [resolution A.788(19)].

INTERIM DOCUMENT OF COMPLIANCE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____

(name of the State)

by _____

(person or organization authorized)

Name and address of Company:

(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the safety management system of the Company has been recognized as meeting the objectives of paragraph 1.2.3 of the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code), for the type(s) of ships listed below (delete as appropriate):

Passenger ship
Passenger high-speed craft
Cargo high-speed craft
Bulk carrier
Oil tanker
Chemical tanker
Gas carrier
Mobile offshore drilling unit
Other cargo ship

This Interim Document of Compliance is valid until

Issued at

(place of issue of the document)

Date of issue

.....
(Signature of the duly authorized official issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

INTERIM SAFETY MANAGEMENT CERTIFICATE

(Official seal)

(State)

Certificate No.

Issued under the provisions of the
INTERNATIONAL CONVENTION FOR THE SAFETY OF LIFE AT SEA, 1974, as amended

Under the authority of the Government of _____
(name of the State)

by _____
(person or organization authorized)

Name of ship:

Distinctive number or letters:

Port of registry:

Type of ship*

Gross tonnage:

IMO Number:

Name and address of Company:

(see paragraph 1.1.2 of the ISM Code)

THIS IS TO CERTIFY THAT the requirements of paragraph 14.4 of the ISM Code have been met and that the Document of Compliance / Interim Document of Compliance** of the Company is relevant to this ship.

This Interim Safety Management Certificate is valid until.....
subject to the Document of Compliance / Interim Document of Compliance** remaining valid.

Issued at
(place of issue of the document)

Date of issue

.....
(Signature of the duly authorized official issuing the certificate)

(Seal or stamp of issuing authority, as appropriate)

THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE

Certificate No.

The validity of this Interim Safety Management Certificate is extended to:

Date of extension:

.....
(Signature of the duly authorized official extending the validity)

(Seal or stamp of issuing authority, as appropriate)

* Insert the type of ship from among the following: passenger ship; passenger high-speed craft; cargo high-speed craft; bulk carrier; oil tanker; chemical tanker; gas carrier; mobile offshore drilling unit; other cargo ship.

** Delete as appropriate."